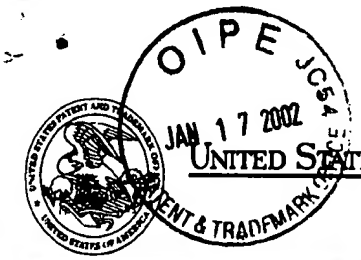
#3



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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/898,515	07/03/2001		09857-062001

CONFIRMATION NO. 4895

FORMALITIES LETTER

OC000000006401296

DENIS G. MALONEY
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

Date Mailed: 08/08/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
  Applicant must submit **$ 710** *to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is $18.
  - **$18** for **1** total claims over 20.
- The oath or declaration is missing.
  A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of $130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is $ 858.**

A copy of this notice <u>MUST</u> be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01/23/2002 VTRUONG1 00000097 09898515

01 FC:101 740.00 OP
02 FC:103 18.00 OP
03 FC:105 150.00 OP

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Attorney's Docket No.: 09857-062001 #3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	: Dean Furbush et al.	Art Unit	: Unknown
Serial No.	: 09/898,515	Examiner	: Unknown
Filed	: July 3, 2001		
Title	: Order Execution Processing for Automated Market System		

BOX MISSING PARTS
Commissioner for Patents
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

In response to the Notice to File Missing Parts of Application under 37 CFR §1.53(b) mailed August 8, 2001 (copy enclosed), applicant as a large entity submits herewith the following:

- ☒ Payment of the basic filing fee of $740;
- ☒ Payment of the additional/multiple dependent claims fees of $18;
- ☒ Check in payment of $130 surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application;
- ☒ Combined Declaration and Power of Attorney in compliance with 37 CFR §1.63;
- ☒ Petition for One Month Extension of Time w/accompanying fee.

It is understood that this perfects the application and no additional papers or filing fees are required. Please apply any other charges or credits to Deposit Account No. 06-1050.

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

November 2, 2001
Date of Deposit

Marie Collins
Signature

Marie Collins
Typed or Printed Name of Person Signing Certificate

Respectfully submitted,

Date: 11/2/2001

Denis G. Maloney
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